



CERTIFICATE OF MAILING  
I HEREBY CERTIFY THAT THIS PAPER AND THE DOCUMENTS REFERRED AS BEING ATTACHED OR ENCLOSED  
HEREWITH ARE BEING DEPOSITED WITH THE UNITED STATES POSTAL OFFICE ON 5/9/03  
AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO: ASSISTANT COMMISSIONER FOR PATENTS,  
WASHINGTON, D.C. 20231

Judith Ubando  
JUDITH UBANDO

PATENT  
DOCKET NO: 509032001500

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Martin J. WENSLEY, et al.

Serial No.: 10/057,197

Filing Date: 10/26/2001

For: AEROSOL GENERATING METHOD AND DEVICE

Examiner: To be assigned

Group Art Unit: 3761

Supplemental Information Disclosure Statement

Commissioner for Patents  
United States Patent and Trademark Office  
Washington, D.C. 20231

RECEIVED  
MAY 14 2003  
TECHNOLOGY CENTER R3700

Dear Sir:

In accordance with their continuing duty of disclosure under 37 CFR §§ 1.97, 1.98 and 1.56,  
Applicants hereby submit for consideration in the above-identified application additional references.

For the convenience of the Examiner, the references are listed on a Supplemental PTO Form 1449  
(attached) and copies thereof are enclosed. Applicants would appreciate the Examiner initialing and  
returning the Form PTO-1449, indicating that the information has been considered and made of record  
herein.

Respectfully submitted,

Elaine C. Stracker

Elaine C. Stracker, Ph.D., J.D.

Registration No. 43,166

Patent Counsel

Alexza MDC

1001 East Meadow Circle

Palo Alto, CA 94303

TEL: (650) 687-3905

FAX: (650) 687-3999

3761

|   |                           |                            |                                |
|---|---------------------------|----------------------------|--------------------------------|
| <b>TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT</b><br>(Under 37 CFR 1.97(b) or 1.97(c))   |                           |                            | Docket No.<br>50902001500      |
| In Re Application Of:<br>Martin J. JAWINSLEY, et al.  |                           |                            |                                |
| Serial No.<br>10/057,197  | Filing Date<br>10/26/2001 | Examiner<br>To be assigned | Group Art Unit<br>3761         |
| Title:<br><b>AEROSOL GENERATING METHOD AND DEVICE</b>   |                           |                            |                                |
|   |                           |                            | <b>RECEIVED</b><br>MAY 14 2003 |
| <div style="text-align: center;">             Address to:<br/> <b>Assistant Commissioner for Patents</b><br/> <b>Washington, D.C. 20231</b> </div> <div style="text-align: right; margin-top: 10px;"> <b>TECHNOLOGY CENTER R3700</b> </div>   |                           |                            |                                |
| <b>37 CFR 1.97(b)</b>   |                           |                            |                                |
| 1. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114. |                           |                            |                                |
| <b>37 CFR 1.97(c)</b>   |                           |                            |                                |
| 2. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:   |                           |                            |                                |
| <div style="margin-left: 40px;"> <input type="checkbox"/> the statement specified in 37 CFR 1.97(e);         </div>   |                           |                            |                                |
| <b>OR</b>   |                           |                            |                                |
| <div style="margin-left: 40px;"> <input type="checkbox"/> the fee set forth in 37 CFR 1.17(p).         </div>   |                           |                            |                                |

## TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

50902001500

In Re Application:

Martin J. WENSLEY, et al.

MAY 12 2003

Serial No.

10/057,197

Filing Date

10/26/2001

Examiner

To be assigned

Group Art Unit

3761

AEROSOL GENERATING METHOD AND DEVICE

RECEIVED

MAY 14 2003

TECHNOLOGY CENTER R3700

## Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☐ Credit any overpayment.
- ☐ Charge any additional fee required.

## Certificate of Transmission by Facsimile\*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F

(Date)

Signature

Typed or Printed Name of Person Signing Certificate

## Certificate of Mailing by First Class Mail

I certify that this document and fee is being deposited on 5/9/2003 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Judith M. Ubando

Typed or Printed Name of Person Mailing Certificate

\*This certificate may only be used if paying by deposit account.

*Elaine C. Stracker*  
Signature

Dated:

May 9, 2003

Elaine C. Stracker, Ph.D., J.D.

(Reg. 43,166)

Alexza MDC

1001 East Meadow Circle

Palo Alto, CA 94303

Ph: 650-687-3905

Fx: 650-687-3998

CC: